



PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number 10/806,361

Filing Date March 23, 2004

First Named Inventor Stumbo

Art Unit 2811

Examiner Name

Attorney Docket Number 01-004000

**ENCLOSURES (Check all that apply)**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form                             | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> After Allowance Communication to TC                            |
| <input type="checkbox"/> Fee Attached                                     | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input type="checkbox"/> Amendment/Reply                                  | <input type="checkbox"/> Petition  | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application                          | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                        | <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                        | <input type="checkbox"/> Terminal Disclaimer   | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):         |
| <input type="checkbox"/> Express Abandonment Request                      | <input type="checkbox"/> Request for Refund  | 3.73(b) Statement, PTO Form 1449 (2 pages), 8 references, Return Receipt Postcard       |
| <input checked="" type="checkbox"/> Information Disclosure Statement      | <input type="checkbox"/> CD, Number of CD(s) _____   |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)           | <input type="checkbox"/> Landscape Table on CD   |   |
| <input type="checkbox"/> Reply to Missing Parts/Incomplete Application    | Remarks  |   |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 |  |   |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	Nanosys, Inc.		
Signature			
Printed name	Andrew L. Filler		
Date	3-10-05	Reg. No.	44,107

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or printed name	Michelle Chan	Date	March 10, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**CERTIFICATE OF MAILING OR TRANSMISSION**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: March 10, 2005

Signed: Michelle Chan  
Michelle Chan

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No. : 10/806,361 Confirmation No.: 2224  
Applicant : David P. Stumbo et al.  
Filed : March 23, 2004  
TC/A.U. : 2811  
Examiner :  
  
Docket No. : 01-004000  
Customer No. : 33140  
Title : Nanowire Varactor Diodes and Methods of Making Same

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

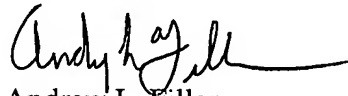
The references cited on the attached form PTO-1449 are being called to the attention of the Examiner. Pursuant to 1276 OG 55 dated August 5, 2003, Applicants are not providing copies of US patents and/or publications as this application was filed after June 30, 2003. A copy of each non-US patent or publication reference is enclosed.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR §1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is made that a search has been conducted or that this statement encompasses all possible relevant information.

Applicants believe that no fee is required for submission of this statement, since it is being submitted within three months of the filing date or prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to charge such fee to Deposit Account No. 50-2336. Please charge any additional fees or credit any overpayment to the above-noted deposit account.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Andrew L. Filler", with a long horizontal flourish extending to the right.

Andrew L. Filler  
Reg. No. 44,107

NANOSYS, INC.  
2625 Hanover Street  
Palo Alto, CA 94304  
Tel: 650-331-2176  
Fax: 650-331-2101



Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>		
		Application Number	<b>10/806,361</b>	
		Filing Date	<b>March 23, 2004</b>	
		First Named Inventor	<b>Stumbo</b>	
		Art Unit	<b>2811</b>	
Examiner Name				
Sheet		of	Attorney Docket Number	<b>01-004000</b>

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No.	Document No.	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
		Number - Kind Code (if known)			
	AA	US-5,962,863	10/05/1999	Russell et al.	
	AB	US-6,245,767	07/03/2001	Kuekes et al.	
	AC	US-6,447,663	09/10/2002	Lee et al.	
	AD	US-6,566,704	05/20/2003	Choi et al.	
	AE	US-6,586,785	07/01/2003	Flagan et al.	
	AF	US-6,760,245	07/06/2004	Eaton et al.	
	AG	US-6,798,000	09/28/2004	Luyken et al.	
	AH	US-20020117659	08/29/2002	Lieber et al.	
	AI	US-20020127495	09/12/2003	Scherer	
	AJ	US-20020130311	09/19/2002	Lieber et al.	
	AK	US-20020130353	09/19/2002	Lieber et al.	
	AL	US-20020163079	11/07/2002	Awano	
	AM	US-20020175408	11/28/2002	Majumdar et al.	
	AN	US-20030012723	01/16/2003	Clarke	
	AO	US-20030042562	03/06/2003	Giebelers et al.	
	AP	US-20030089899	05/15/2003	Lieber et al.	
	AQ	US-20030186522	10/02/2003	Duan et al.	
	AR	US-20030189202	10/09/2003	Li et al.	
	AS	US-20040036126	02/26/2004	Chau et al.	
	AT	US-20040061422	04/01/2004	Avouris et al.	
	AU	US-20040112964	6/17/2004	Empedocles et al.	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>		
		Application Number	<b>10/806,361</b>	
		Filing Date	<b>March 23, 2004</b>	
		First Named Inventor	<b>Stumbo</b>	
		Art Unit	<b>2811</b>	
Examiner Name				
Sheet		of	Attorney Docket Number	<b>01-004000</b>

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No.	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Country Code - Number - Kind Code (if known)				
	AV	WO-0103208	1/11/2001	Harvard		
	AW	WO-0217362	2/28/2002	Harvard		
	AX	WO-0248701	6/20/2002	Harvard		
	AY	WO-2004032193	04/15/2004	Nanosys		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and-or country where published.	T
	AZ	Chung et al., "Silicon nanowire devices" Appl. Phys. Letts. (2000) 76(15):2068-2070	
	BA	Duan et al., "High performance thin-film transistors using semiconductor nanowires and nanoribbons" Nature (2003) 425:274-278	
	BB	Tans et al., "Room-temperature transistor based on a single carbon nanotube" Nature (1998) 393:49-52	
	BC	Yamada "Analysis of submicron carbon nanotube field-effect transistors" Appl. Phys Letts (2000) 76(5):628-630	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.